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TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER 2055.052 U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/569,588
INTERNATIONAL APPLICATION NO. PCT/CN04/00990	INTERNATIONAL FILING DATE 08/26/2004	PRIORITY DATE 08/27/2003
TITLE OF INVENTION APPARATUS AND METHOD FOR PROVIDING DIMMING CONTROL OF LAMPS AND ELECTRICAL LIGHTING SYSTEMS		
APPLICANT(S) FOR DO/EO/US Shu-hung Henry CHUNG; Ngai Man HO; Shu-Yuen Ron HUI		
<p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> 1. <input type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)). <p>Items 11 to 20 below concern document(s) or information</p> <ol style="list-style-type: none"> 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4). 		

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/569,588		INTERNATIONAL APPLICATION NO. PCT/CN04/00990		ATTORNEY'S DOCKET NUMBER 2055.052	
20. <input checked="" type="checkbox"/> Other items or information: (1) Copy of Notification of Missing Requirements Under 35 U.S.C. 371 (2 pages); (2) Information Disclosure Citation (1 page); (3) Non-Patent Reference (9 pages); and (4) One (1) Acknowledgement Postcard					
The following fees are submitted:				CALCULATIONS	PTO USE ONLY
21. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a))				\$	\$0.00
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$0 All other situations \$200				\$	\$200.00
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB \$400 All other situations \$500				\$	\$500.00
TOTAL OF 21, 22 and 23 =				\$	\$700.00
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
0 - 100 =	0 /50 =	0	x \$250.00	\$	\$0.00
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				\$	\$130.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	28 - 20 =	8	x \$50.00	\$	\$400.00
Independent	3 - 3 =	0	x \$200.00	\$	\$0.00
Multiple Dependent Claims (if applicable) <input type="checkbox"/>			+ \$360.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$	\$1,230.00
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.				\$	\$615.00
SUBTOTAL =				\$	\$615.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				+	\$
TOTAL NATIONAL FEE =				\$	\$615.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per				+	\$
TOTAL FEES ENCLOSED =				\$	\$615.00
				Amount to be refunded:	\$
				Amount to be charged:	\$

10/17/2006 HKAYPAGH 00000101 10569588

01 FC:263 100.00 OP
 02 FC:263 250.00 UP
 03 FC:261 65.00 OP
 04 FC:261 200.00 OP

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- a. ☒ A check in the amount of \$615.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account 08-1935. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card** information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Wayne F. Reinke, Esq.
Registration No. 36,650
Heslin Rothenberg Farley & Mesiti P.C.
5 Columbia Circle
Albany, NY 12203-5160

Telephone: 518-452-5600
Facsimile: 518-452-5579

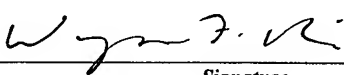
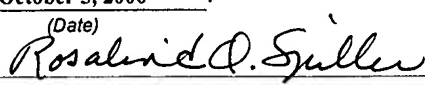
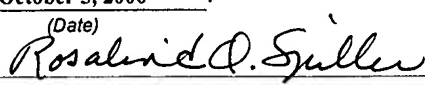
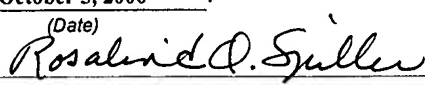

SIGNATURE

Wayne F. Reinke

NAME

36,650

REGISTRATION NUMBER

TRANSMITTAL LETTER (General - Patent Pending)				Docket No. 2055.052				
In Re Application Of: CHUNG et al.								
Application No. 10/569,588	Filing Date 02/23/2006	Examiner Unknown	Customer No. 23405	Group Art Unit Unknown	Confirmation No. 6641			
Title: APPARATUS AND METHOD FOR PROVIDING DIMMING CONTROL OF LAMPS AND ELECTRICAL LIGHTING SYSTEMS								
<u>COMMISSIONER FOR PATENTS:</u>								
Transmitted herewith is:								
<ul style="list-style-type: none"> (1) Transmittal Letter to the United States Designated/Elected Office (3 pages) (page 3 in duplicate); (2) Copy of Notification of Missing Requirements (2 pages); (3) Declaration and Power of Attorney for Patent Application (Signed) (4 pages); (4) Transmittal of Information Disclosure Statement (1 page); (5) Supplemental Information Disclosure Citation (1 page) and one (1) non-patent reference (9 pages); (6) Check in the amount of \$615.00 (\$65 Surcharge and \$550 Filing Fees); and (3) One (1) Acknowledgement Postcard. 								
in the above identified application.								
<input checked="" type="checkbox"/> No additional fee is required. <input type="checkbox"/> A check in the amount of _____ is attached. <input type="checkbox"/> The Director is hereby authorized to charge and credit Deposit Account No. _____ as described below. <ul style="list-style-type: none"> <input type="checkbox"/> Charge the amount of _____ <input type="checkbox"/> Credit any overpayment. <input type="checkbox"/> Charge any additional fee required. <input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.								
WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.								
 _____ Signature			Dated: October 5, 2006					
Wayne F. Reinke, Esq. Registration No. 36,650 Heslin Rothenberg Farley & Mesiti P.C. 5 Columbia Circle Albany, NY 12203-5160 Telephone: 518-452-5600 Facsimile: 518-452-5579			<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;"> I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on October 5, 2006 _____ (Date) </td> </tr> <tr> <td style="padding: 5px; text-align: center;">  Signature of Person Mailing Correspondence </td> </tr> <tr> <td style="padding: 5px; text-align: center;"> Rosalind Q. Spiller Typed or Printed Name of Person Mailing Correspondence </td> </tr> </table>			I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on October 5, 2006 _____ (Date)	 Signature of Person Mailing Correspondence	Rosalind Q. Spiller Typed or Printed Name of Person Mailing Correspondence
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 Signature of Person Mailing Correspondence								
Rosalind Q. Spiller Typed or Printed Name of Person Mailing Correspondence								
cc:								

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NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Wayne F. Reinke, Esq.
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Heslin Rothenberg Farley & Mesiti P.C.
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Albany, NY 12203-5160

Telephone: 518-452-5600
Facsimile: 518-452-5579


SIGNATURE

Wayne F. Reinke

NAME

36,650

REGISTRATION NUMBER



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
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 Alexandria, Virginia 22313-1450
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/569,588	Shu-hung Henry Chung	2055.052

23405
 HESLIN ROTHENBERG FARLEY & MESITI PC
 5 COLUMBIA CIRCLE
 ALBANY, NY 12203

WFR

INTERNATIONAL APPLICATION NO.	
PCT/CN04/00990	
I.A. FILING DATE	PRIORITY DATE
08/26/2004	08/27/2003

CONFIRMATION NO. 6641

371 FORMALITIES LETTER



OC000000020552863

Date Mailed: 09/25/2006

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

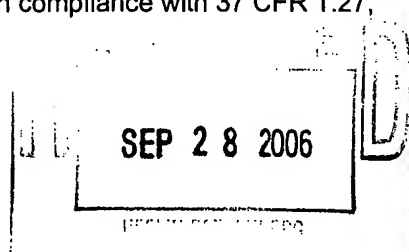
- Indication of Small Entity Status
- Copy of the International Application filed on 02/23/2006
- Copy of the International Search Report filed on 02/23/2006
- Copy of IPE Report filed on 02/23/2006
- Information Disclosure Statements filed on 02/23/2006
- U.S. Basic National Fees filed on 02/23/2006
- Priority Documents filed on 02/23/2006

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Additional claim fees of **\$200** as a small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:



Total additional fees required for this application is **\$565** for a Small Entity:

- **\$65 Surcharge.**
 - The application search fee has not been paid. Applicant must submit **\$200** to complete the search fee. Note a surcharge will be required if submitted later than commencement of the national stage (37 CFR 1.492(h)) and the basic national fee was not paid before July 1, 2005.
 - The application examination fee has not been paid. Applicant must submit **\$100** to complete the examination fee for a small entity in compliance with 37 CFR 1.27. Note a surcharge will be required if submitted later than commencement of the national stage (37 CFR 1.492(h)) and the basic national fee was not paid before July 1, 2005.
- Total additional claim fee(s) for this application is **\$ 200**
 - **\$200** for 8 total claims over 20.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

DOCKETED 11/25/06

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

ANITA D JOHNSON

Telephone: (703) 308-9140 EXT 226

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/569,588	PCT/CN04/00990	2055.052